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## FORMALITIES LETTER



\*OC00000005014797\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/495,982	02/01/2000	Christopher L. Jones	002821.P001x

Michael A DeSanctis  
 Blakely Sokoloff Taylor & Zafman LLP  
 7th Floor  
 12400 Wilshire Boulevard  
 Los Angeles, CA 90025

Date Mailed: 03/29/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

## FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 820.**

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*A copy of this notice MUST be returned with the reply.*

UNBLOCK

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/25/2000 MMARHOL AWWWWWW 00465002

01 FC:101	690.00 OP
02 FC:105	130.00 OP

Our Docket No: 002821.P001X



PATENT

~~sector \$ #3~~

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
Jones et al. ) Examiner: Not yet assigned  
Application No.: 09/495,982 ) Art Unit: 2768  
Filed: February 1, 2000 )  
For: Financial Advisory System )

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION  
(FILING DATE GRANTED)

Assistant Commissioner for Patents  
Box Missing Parts  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing parts of Application (Filing Date Granted) mailed March 29, 2000, please find enclosed:

- (1) a duly executed Declaration and Power of Attorney with respect to the above-referenced patent application;
- (2) a check in the amount of \$820.00 in payment of the surcharge of 37 C.F.R. § 1.16(e) and Application Filing Fees;
- (3) a copy of the Notice to File Missing Parts of Application;
- (4) a check in the amount of \$110.00 in payment of 1 month extension.

06/23/2000 MMARMOL 00000089 09495982

03 FC:115

110.00 0P

Docket No.: 004059.P001X  
Application No.: 09/495,982



If any additional fee is required, please charge Deposit Account No. 02-2666. A duplicate of this Response is enclosed for deposit account charging purposes.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: 6/16/2000

  
Michael Anthony DeSanctis  
Reg. No. 39,957

12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025-1026  
(303) 740-1980

FIRST CLASS CERTIFICATE OF MAILING  
(37 C.F.R. § 1.8 (a))

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

On June 16, 2000  
Date of Deposit  
April Whaley  
Name of Person Mailing Correspondence  
April Whaley 6/16/00  
Signature Date



#3

## FEE TRANSMITTAL

 TOTAL AMOUNT OF PAYMENT (\$) \$930.00

## Complete if Known:

 Application No. 09/495,982

 Filing Date February 1, 2000

 First Named Inventor Christopher L. Jones et al.

 Group Art Unit 2768

 Examiner Name Not Yet Assigned

 Attorney Docket No. 002821.P001X

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

 Deposit Account Number 02-2666  
 Deposit Account Name \_\_\_\_\_

 Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

 Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.131(b)

2.  Payment Enclosed

 Check

 Money Order

 Other

## FEE CALCULATION (fees effective 11/10/98)

 1. FILING FEE

## Large Entity      Small Entity

Fee	Fee	Fee	Fee	Fee Description	Fee Paid
Code	(\$)	Code	(\$)		
101	760	201	380	Utility application filing fee	<u>690.00</u>
106	310	206	155	Design application filing fee	<u>0.00</u>
107	480	207	240	Plant filing fee	<u>0.00</u>
108	760	208	380	Reissue filing fee	<u>0.00</u>
114	150	214	75	Provisional application filing fee	<u>0.00</u>
SUBTOTAL (1)				\$	<u>690.00</u>

 2. CLAIMS

	<u>Extra</u>	<u>Fee from below</u>	<u>Fee Paid</u>
Total Claims	<u>- 20 = 0</u>	X <u>0.00</u>	= <u>0.00</u>
Independent Claims	<u>- 3 = 0</u>	X <u>0.00</u>	= <u>0.00</u>
Multiple Dependent Claims	<u>0</u>	X <u>0.00</u>	= <u>0.00</u>

## Large Entity      Small Entity

Fee	Fee	Fee	Fee	Fee Description	Fee Paid
Code	(\$)	Code	(\$)		
103	18	203	9	Claims in excess of twenty	<u>0.00</u>
102	78	202	39	Independent claims in excess of 3	<u>0.00</u>
104	260	204	130	Multiple dependent claim	<u>0.00</u>
109	78	209	39	Reissue independent claims over original patent	<u>0.00</u>
110	18	210	9	Reissue claims in excess of 20 and over original patent	<u>0.00</u>
SUBTOTAL (2)				\$	<u>0.00</u>

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

<u>Large Entity</u>	<u>Small Entity</u>				<u>Fee Description</u>	<u>Fee Paid</u>
Fee Code	Fee (\$)	Fee Code	Fee (\$)			
105	130	205	65		Surcharge - late filing fee or oath	<u>130.00</u>
127	50	227	25		Surcharge - late provisional filing fee or cover sheet	<u>0.00</u>
139	130	139	130		Non-English specification	<u>0.00</u>
147	2,520	147	2,520		For filing a request for reexamination	<u>0.00</u>
112	920*	112	920*		Requesting publication of SIR prior to Examiner action	<u>0.00</u>
113	1,840*	113	1,840*		Requesting publication of SIR after Examiner action	<u>0.00</u>
115	110	215	55		Extension for response within first month	<u>110.00</u>
116	380	216	190		Extension for response within second month	<u>0.00</u>
117	870	217	435		Extension for response within third month	<u>0.00</u>
118	1,360	218	680		Extension for response within fourth month	<u>0.00</u>
128	1,850	228	925		Extension for response within fifth month	<u>0.00</u>
119	300	219	150		Notice of Appeal	<u>0.00</u>
120	300	220	150		Filing a brief in support of an appeal	<u>0.00</u>
121	260	221	130		Request for oral hearing	<u>0.00</u>
138	1,510	138	1,510		Petition to institute a public use proceeding	<u>0.00</u>
140	110	240	55		Petition to revive unavoidably abandoned application	<u>0.00</u>
141	1,210	241	605		Petition to revive unintentionally abandoned application	<u>0.00</u>
142	1,210	242	605		Utility issue fee (or reissue)	<u>0.00</u>
143	430	243	215		Design issue fee	<u>0.00</u>
144	580	244	290		Plant issue fee	<u>0.00</u>
122	130	122	130		Petitions to the Commissioner	<u>0.00</u>
123	50	123	50		Petitions related to provisional applications	<u>0.00</u>
126	240	126	240		Submission of Information Disclosure Stmt	<u>0.00</u>
581	40	581	40		Recording each patent assignment per property (times number of properties)	<u>0.00</u>
146	760	246	380		For filing a submission after final rejection (see 37 CFR 1.129(a))	<u>0.00</u>
149	760	249	380		For each additional invention to be examined (see 37 CFR 1.129(a))	<u>0.00</u>
Other fee (specify)						
Other fee (specify)						
					<b>SUBTOTAL (3) \$ 240.00</b>	

\*Reduced by Basic Filing Fee Paid

## SUBMITTED BY:

Typed or Printed Name: Michael Anthony DeSanctis  
 Signature Michael Anthony DeSanctis Date 6/16/2000  
 Reg. Number 39,957 Deposit Account User ID   
 (complete if applicable)

FIRST CLASS CERTIFICATE OF MAILING  
(37 C.F.R. § 1.8 (a))

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

On June 16, 2000 Date of Deposit

April Worley  
Name of Person Mailing Correspondence

April Worley 6/16/01  
Signature Date